

CUMMINGS & LOCKWOOD LLC

Four Stamford Plaza
107 Elm Street
Stamford, CT 06902
203.327.1700 Phone
203.351.4535 Fax
www.cl-law.com

TRANSMIT THE ATTACHED TO

Date: August 6, 2003

Name: Examiner Ella Colbert
Company: US Patent and Trademark Office
Fax: 703.746.5622
Confirming No: 703.308.7064

Name:
Company:
Fax:
Confirming No:

Name:
Company:
Fax:
Confirming No:

Name:
Company:
Fax:
Confirming No:

RECEIVED
AUG 11 2003
GROUP 3600

FAX COVER SHEET INFORMATION

From: R. Thomas Payne
Phone: 203.351.4192
Email: tpayne@cl-law.com
Personal Fax: 203.708.4535
3943

Client No.: 854737.0005
Infotext: 5190
Pages including cover sheet: 26
Confirming No.: 203.351.4372

COMMENTS

Examiner Colbert:

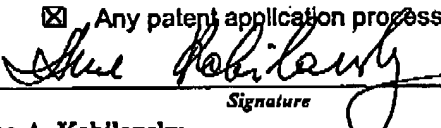
Thanks for returning my phone call. As suggested, the material that was filed with U.S. Patent and Trademark Office will respect to this application follows. If after reviewing this material, should you have questions, please call.


Very truly yours,

R. Thomas Payne
Registration Number 30, 674

.stmLib1:1025377.1 08/06/03

This message is intended only for the use of the individual or entity to which it is addressed and may contain information that is privileged, confidential or exempt from disclosure under applicable law. If the reader of this message is not the intended recipient, or the employee or agent responsible for delivering the message to the intended recipient, you are hereby notified that any dissemination, distribution or copying of this communication is strictly prohibited. If you have received this communication in error, please notify us immediately by telephone and return the original message to us at the above address via the U.S. Postal Service. Thank you.

AMENDMENT TRANSMITTAL LETTER (Small Entity)			Docket No. 854737.0005 (TARB-101.1)		
Applicant(s): Brian C. TARBOX et al.					
Serial No. 10/073,632	Filing Date February 11, 2002	Examiner	Group Art Unit 2164		
Invention: SYSTEMS AND METHODS FOR IMPROVING INVESTMENT PERFORMANCE					
<u>TO THE ASSISTANT COMMISSIONER FOR PATENTS:</u>					
Transmitted herewith is an amendment in the above-identified application.					
<input type="checkbox"/> Small Entity status of this application has been established under 37 CFR 1.27 by a verified statement previously submitted.					
<input checked="" type="checkbox"/> A verified statement to establish Small Entity status under 37 FR 1.27 is enclosed.					
The fee has been calculated and is transmitted as shown below.					
CLAIMS AS AMENDED					
	CLAIMS REMAINING AFTER AMENDMENT	HIGHEST # PREV. PAID FOR	NUMBER EXTRA CLAIMS PRESENT	RATE	ADDITIONAL FEE
TOTAL CLAIMS	62 -	20 =	42 x	\$9.00	\$378.00
INDEP. CLAIMS	11 -	5 =	6 x	\$42.00	\$252.00
Multiple Dependent Claims (check if applicable) <input type="checkbox"/>					\$0.00
TOTAL ADDITIONAL FEE FOR THIS AMENDMENT					\$630.00
<input type="checkbox"/> No additional fee is required for amendment.					
<input type="checkbox"/> Please charge Deposit Account No. _____ In the amount of _____ A duplicate copy of this sheet is enclosed.					
<input checked="" type="checkbox"/> A check in the amount of \$630.00 to cover the filing fee is enclosed.					
<input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge payment of the following fees associated with this communication or credit any overpayment to Deposit Account No. <u>11-0231</u> A duplicate copy of this sheet is enclosed.					
<input checked="" type="checkbox"/> Any additional filing fees required under 37 C.F.R. 1.16.					
<input checked="" type="checkbox"/> Any patent application processing fees under 37 CFR 1.17.					
 Signature					Dated: July 15, 2003
Anna A. Koblansky Reg. No. 53,146 Cummings & Lockwood Four Stamford Plaza P. O. Box 120 Stamford, CT 06904-0129 Tele: (203) 351-4619					
cc:					

CUMMINGS & LOCKWOOD LLC		FLEET		138372
EXPENSE / DISBURSEMENT ACCOUNT		01672 ONE ATLANTIC ST. OFFICE		
		STAMFORD, CONNECTICUT 06901		
		(51-57-119)		
THE SUM ***630 DOLLARS AND 00 CENTS		DATE	AMOUNT	
		07/14/2003	\$630.00	
PAY TO THE ORDER OF	Commissioner of Patents and Trademarks			
Additional Claims fee		2 MANUAL SIG. S REQ. CHECKS OVER \$10,000.00		
S/N 107073,632		1 MANUAL SIG. OVER \$1000.00		
Docket: 854737.0005 (TARB 101.1)				
				
138372-1:01:90057-1:00003-09181				

BEST AVAILABLE COPY

854737.0005 (TARB-101.1)

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:

Brian C. Tarbox et al.

Serial No.: 10/073,632

Filed: February 11, 2002

For: SYSTEMS AND METHODS FOR
IMPROVING INVESTMENT
PERFORMANCE

Examiner:

Group Art Unit: 2164

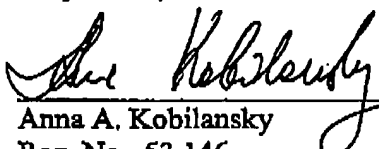
Confirmation No.: 6664

Commissioner for Patents
P. O. Box 1450
Alexandria, VA 22313-1450SMALL ENTITY ASSERTION

Sir:

SMALL ENTITY STATEMENT. Applicant claims Small Entity Status. See 37 CFR 1.27.

Respectfully submitted,

Date: July 15, 2003
Anna A. Kobilansky
Reg. No. 53,146CUMMINGS & LOCKWOOD
Four Stamford Plaza
P.O. Box 120
Stamford, CT 06904
(203) 351-4619

.stmLib1:923911.1